

#3

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicants: Hasling
Serial No: 09/831,057 (National Stage Filing of
PCT/GB99/03574)
Filed: May 4, 2001
For: POLYMERISABLE SURFACTANTS
Atty. Docket: 516.0071USU

RECEIVED
05 MAR 2002
International Division

PETITION UNDER 37 C.F.R. 1.47(b)

Box PCT

Commissioner for Patents
Washington, DC 20231

Dear Sir:

Rhodia Inc. petitions to make application on behalf of and as agent for the inventor, Peter D. Hasling. Mr. Hasling has refused to execute a declaration in the above-referenced application.

Inventorship

Mr. Hasling is deemed to be the inventor of the subject matter of the invention set forth in the present application. The subject matter of the invention substantially corresponds to that set forth in ITC Technical Report Number 219/98, submitted April 11, 1998 by Mr. Hasling to his former employer, Albright & Wilson UK Limited (A & W). Portions of the ITC Technical Report Number 219/98 are found in Exhibit I.

Relationship of Applicant to the Inventor

Rhodia Inc. is the applicant in the present application in view of the refusal of Mr. Hasling to execute an inventor's declaration/power of attorney and an assignment. Mr. Hasling is a former employee of A & W (Exhibits V and XI). A & W later changed its name to Rhodia Consumer Specialties Limited (RCSL) (Exhibit III). RCSL assigned its interest in the present application to Rhodia Inc. (Exhibit IX).

Attempts to Obtain Inventor's Signature

Mr. Hasling did not execute an inventor's declaration or an assignment during the course of filing the British priority applications 9824267.0 and 9913034.6 or PCT Application GB/99/03574. Mr. Colin Kinton of the agent of record for those applications, Barker Bretell, indicated in a Letter to Attorney Dean dated November 29, 2001 (Exhibit X), that the only signed document in his possession was an Authorization of Agent for the PCT Application.

Rhodia Inc., the successor in interest in the present application, attempted to obtain the signature of Mr. Hasling on an inventor's declaration/power of attorney and an assignment, but Mr. Hasling refused to sign them. A Letter was sent by Attorney J. Robert Dean, Jr., an outside counsel for Rhodia Inc., to Mr. Hasling on November 16, 2001 (Exhibit II). Attorney Dean's letter included an inventor's declaration/power of attorney and an assignment. The assignment listed Albright & Wilson UK Limited (hereinafter A&W), the former employer of Mr. Hasling and a predecessor in interest to the invention set forth in the present application, as the assignee. Mr. Hasling sent

back to Attorney Dean a Letter dated November 22, 2001, which stated that he would not sign the inventor's declaration without additional compensation (Exhibit III). Mr. Hasling's return letter did not contain either the inventor's declaration/power of attorney or the assignment supplied by Attorney Dean.

Ownership of the Invention

A & W, Mr. Hasling's former employer, is deemed to have been the owner of the invention in the present application because the underlying research work took place during his employment with A & W. In his Opinion, Mr. Colin Kinton of Barker Bretell opines that Section 39 of the UK Patent Act 1977 is applicable in the present instance (Exhibit IV). Mr. Kinton sets forth that since Mr. Hasling was employed a research scientist and that the invention could be expected to result from the carrying out of his duties, A & W owns the invention. According to A & W employment records, Mr. Hasling was employed from July 3, 1995 to September 1, 2000 (Exhibit XI). Mr. Hasling's underlying research work, embodied in ITC Technical Report 219/98 (Exhibit I) discussed above, took place during this period of employment. Also, both British priority applications 9824267.0 and 9913034.6 and PCT application GB99/03574 were filed during that period of employment.

There are no available employment or intellectual property contracts between Mr. Hasling and A & W that are deemed to lead to a conclusion that A & W did not own the invention in the present application. A search of A & W employment records yielded a Letter dated May 25, 1995, from R.O. Jones, Graduate Recruitment Manager, to Mr. Hasling (Exhibit V). The Jones Letter sets forth various terms and conditions of employment.

The Jones Letter was signed "PD Hasling" and "June 2, 1995". The letter does not expressly address the ownership of inventions made during the course of employment (Exhibit IV). Mr. Kinton's Opinion further mentions the possibility of a "Service Agreement," but such an agreement was not found in Mr. Hasling's employment file at A & W (now RCSL).

Showing of Proprietary Interest

Rhodia Inc. has a proprietary interest in filing the present application. Rhodia Inc. is successor in interest to the invention set forth in the present application. Rhodia Inc. has obtained interest in the present application through name change and by assignment. As shown above, A & W was the proper owner of the invention set forth in the present application. A & W later changed its name to Rhodia Consumer Specialties Limited (RCSL) (Exhibit III). RCSL assigned its interest in the present application to Rhodia Inc. (Exhibit IX).

Protection of the Rights of the Parties

In view of the refusal of Mr. Hasling to execute the inventor's declaration/power of attorney provided to him by Rhodia Inc., Rhodia Inc. wishes to make application for patent on behalf of and as agent for him. Submission of a declaration is required under 37 C.F.R. 1.497(a) and (b) as set forth in the Notice of Missing Requirements under 35 U.S.C. 371 in the United States Designated/Elected Office dated July 16, 2000. Without submission of a declaration, the present application will go abandoned. It is apparent from the foregoing that application by Rhodia Inc. is necessary to protect the rights of the parties.

To that end, Rhodia Inc. is providing a Declaration/Power of Attorney signed by Judith L. Diorio, Assistant Secretary for Rhodia Inc (Exhibit VI). The Declaration/Power of Attorney states that Ms. Diorio is authorized to sign on behalf of Rhodia Inc.

Inventor's Last Known Address

The last known address of the Mr. Hasling is the following:

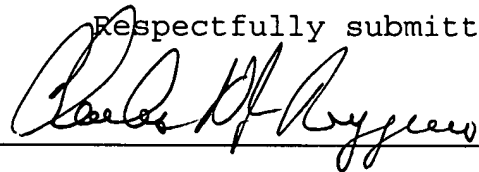
Mr. Peter D. Hasling
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Kidderminster
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DY11 7AP
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Exhibits

A listing of Exhibits is attached to this Petition.

Dated: January 16, 2001

Respectfully submitted,



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EXHIBITS

- I. ITC Technical Report Number 219/98
- II. Letter from Attorney Dean to Mr. Hasling dated November 16, 2001 along with Federal Express receipt
- III. Letter from Mr. Hasling to Attorney Dean dated November 22, 2001
- IV. Opinion of Mr. Colin Kinton of Barker Bretell and
Reproduction of Section 39 of the UK Patent Act 1977
- V. Letter from R.O. Jones to Mr. Hasling dated May 25, 1995
- VI. Declaration/Power of Attorney signed by John A. Shedden
- VII. Cover page for PCT Application GB99/03574
- VIII. Certificate of Incorporation on Change of Name
- IX. Assignment from RCSL to Rhodia Inc.
- X. Letter from Mr. Colin Kinton to Attorney Dean dated November 29, 2001
- XI. Email note from RCSL Personnel Regarding the Employment Dates of Peter D. Hasling

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**International Technical Centre
Technical Report No. ITC219/98**

**The Initial Development of a Polymerisable Surfactant
(Poly(Propoxylate) Methacrylate Phosphate)**

Author: Pete Hasling

Date: 4/11/98

Work Done By: Pete Hasling & A Archer

Approved By: M Zakikhani

Summary

This (interim) report describes the initial development of a polymerisable surfactant based on poly(propoxylate) methacrylate phosphate.

This has been screened for use in a basic, industrial, acrylic emulsion. Performance benefits were examined in comparison to a standard anionic surfactant, Aerosol-501. It was shown that the use of the polymerisable surfactant brought about significant improvements in the low-foaming of the latex and the gloss, adhesion and water-resistance of the dried film.

The surfactant raw material cost is £1100/tonne. The molecular weight is 1320 g/mol which is large enough to qualify for polymeric status for registration purposes. A patent claiming its synthesis and use has been applied for.

More work is required to optimise the synthetic procedure and performance of the polymerisable surfactant.

Circulation

Full Report:

Library (2)
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Summary:

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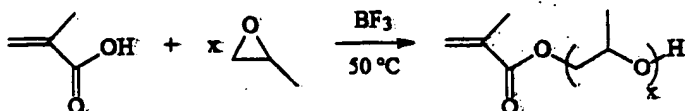
International Technical Centre
Technical Report No. ITC 219/98

**The Initial Development of a Polymerisable Surfactant
(Poly(Propoxylate) Methacrylate Phosphate)**

Author: Pete Hasling
Date: 4/11/98

4. Laboratory Work

Preparation of Poly(Alkoxy) Methacrylate



The first step to preparing the polymerisable surfactant - candidate II (described in the previous section) is the reaction between methacrylic acid and propylene oxide to form poly(propoxy) methacrylate (PPM). This was the only feasible way thought of to prepare the PPM with a terminal hydroxy group available for further functionalisation. Transesterification of polypropylene glycol with MMA, while being practical simple, would give rise to an unacceptable level of disubstitution.

Generally alkoxylation of acids and alcohols is done using sodium hydroxide catalysis at high temperatures (140-180 °C) necessitating the use of high pressure reactors^[19]. These conditions are far too extreme for alkoxylation of reactive monomers and would lead to polymerisation of the product during synthesis.

The use of a Lewis-acid catalyst (e.g. boron trifluoride) enables the alkoxylation reaction to proceed at a reasonable rate at 50 °C. This is therefore the method of choice for the syntheses of poly(alkoxy) methacrylates. It is not known whether this is still too high for the functionalisation of acrylates (which are more susceptible to spontaneous polymerisation than methacrylates).

Methacrylic acid was used as the starting material for the syntheses in this work, however 2-hydroxypropyl methacrylate (or 2-hydroxybutyl methacrylate) could be used as alternatives. These are more expensive and so weren't used.

It was unknown what type and length of alkoxy hydrophobe would be required to give a surfactant with the appropriate HLB for acrylic emulsions after capping with phosphate. To determine this a series of poly(alkoxy) methacrylates were prepared - these are listed below.

| Alkylene Oxide | Number per Methacrylate | Name |
|----------------|-------------------------|-------|
| Propylene | 6 | PP6M |
| Propylene | 12 | PP12M |
| Propylene | 20 | PP20M |
| Propylene | 28 | PP28M |
| Butylene | 12 | PB12M |

Polypropoxylate(20) Methacrylate (PP20M)

Reagents:

| | |
|---------------------------------|---------------------|
| Methacrylic Acid: | 28.3 g (0.329 mol) |
| Propylene oxide: | 381.6 g (6.580 mol) |
| Boron trifluoride etherate: | 5.0 ml |
| Hydroquinone, monomethyl ether: | 0.20 g |

A 1 litre jacketed vessel fitted with overhead stirrer, septum cap, N₂ bleed, condenser, peristaltic addition tube and thermometer was heated to 120 °C for 1 hour under nitrogen and the flask lid flamed to ensure dryness. The reactor was then cooled to room temperature.

Methacrylic acid (28.3 g, 0.329 mol) and boron trifluoride etherate (5.0 ml) were charged to the reactor (BF₃ by syringe/septum seal). Propylene oxide was then added to the stirred reaction mixture at a constant rate over 90 minutes using a peristaltic pump. Starting at the same time, the remainder of the BF₃ was added over 120 minutes via a screw feed syringe pump. Immediately the additions commenced the temperature rose to 40 °C and the reactor jacket was cooled to -5 °C. Care was taken to ensure that the reaction temperature was maintained between 40 and 50 °C throughout PO addition.

After the addition of propylene oxide was complete, the jacket temperature was raised to 50 °C while the BF₃ addition completed. When this addition was complete the nitrogen bleed was replaced with an air one and MEHQ (0.20 g, 500 ppm) added. The jacket temperature was raised to 60 °C and the clear, colourless product was sparged with air to remove any unreacted propylene oxide.

Polypropoxylate(6) Methacrylate (PP6M)

Procedure exactly as PP20M but with the following reagents:

| | |
|---------------------------------|---------------------|
| Methacrylic Acid: | 28.3 g (0.329 mol) |
| Propylene oxide: | 114.5 g (1.974 mol) |
| Boron trifluoride etherate: | 3.0 ml |
| Hydroquinone, monomethyl ether: | 0.07 g |

Polypropoxylate(12) Methacrylate (PP12M)

Procedure exactly as PP20M but with the following reagents:

| | |
|---------------------------------|---------------------|
| Methacrylic Acid: | 28.3 g (0.329 mol) |
| Propylene oxide: | 229.0 g (3.948 mol) |
| Boron trifluoride etherate: | 5.0 ml |
| Hydroquinone, monomethyl ether: | 0.13 g |

Polypropoxylate(28) Methacrylate (PP28M)

Procedure exactly as PP20M but with the following reagents:

| | | |
|---------------------------------|---------|-------------|
| Methacrylic Acid: | 14.1 g | (0.164 mol) |
| Propylene oxide: | 266.3 g | (4.592 mol) |
| Boron trifluoride etherate: | 5.0 ml | |
| Hydroquinone, monomethyl ether: | 0.14 g | |

Polybutoxylate(12) Methacrylate (PB12M)

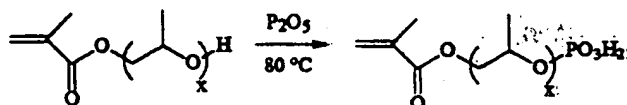
Reagents:

| | | |
|---------------------------------|---------|-------------|
| Methacrylic Acid: | 28.3 g | (0.329 mol) |
| Butylene oxide: | 284.7 g | (1.970 mol) |
| Boron trifluoride etherate: | 8.0 ml | |
| Hydroquinone, monomethyl ether: | 0.14 g | |

A 1 litre jacketed vessel fitted with overhead stirrer, septum cap, N₂ bleed, condenser, peristaltic addition tube and thermometer was heated to 120 °C for 1 hour under nitrogen and the flask lid flamed to ensure dryness. The reactor was then cooled to room temperature.

Methacrylic acid (28.3 g, 0.329 mol) and boron trifluoride etherate (1.0 ml) were charged to the reactor (BF₃ by syringe/septum seal). Butylene oxide (284.7 g) was added to the stirred reaction mixture at a constant rate over 90 minutes using a peristaltic pump. Starting at the same time, the remainder of the BF₃ was added over 120 minutes via a screw feed syringe pump. Immediately the additions commenced the temperature rose to 40 °C and the reactor jacket was cooled to -5 °C. Care was taken to ensure that the reaction temperature was maintained between 40 and 50 °C throughout BO addition.

After the addition of butylene oxide was complete, the jacket temperature was raised to 50 °C while the BF₃ addition completed. When this addition was complete the nitrogen bleed was replaced with an air one and MEHQ (0.14 g, 500 ppm) added. The jacket temperature was raised to 60 °C and the clear, colourless product was sparged with air to remove any unreacted butylene oxide.

Phosphation of Poly(Alkoxyate) Methacrylates

The hydrophobic poly(alkoxyate) methacrylates described above were phosphated using phosphorus pentoxide. The procedure was that used for ethylene methacrylate phosphate (EMP) – see ITC technical report 130/95.

At this stage, no attempt has been made to optimise the phosphorylation step in terms of the degree of mono- and di-substitution. It is thought that the presence of any di-substituted product could be detrimental to the emulsion stabilisation and properties of the final product. Future work will include the optimisation of this step.

Polypropoxy(20) Methacrylate Phosphate (PP20MP)

Reagents:

| | |
|-----------------------|-------------------|
| PP20M: | 260 g (0.196 mol) |
| Phosphorus Pentoxide: | 9.9 g (0.081 mol) |

A 1 litre jacketed vessel fitted with overhead stirrer, air bleed, condenser, solid addition inlet and thermometer was charged with PP20M (260 g) and stirred vigorously whilst being heated to 60 °C. Phosphorus pentoxide (9.9 g) was added via the solid addition inlet over 1 hour. The temperature was then raised to 80 °C and the reaction mixture stirred at this temperature for a further 4 hours before being cooled. The yellow, oily liquid product was then poured out.

Emulsion Polymerisation

A standard, industrial, recipe for emulsion polymerisation was obtained (A&W, Box Hill). This was used to monitor the ability of the surfactants prepared in this project to:

- stabilise the emulsion throughout polymerisation,
- affect the foaming behaviour of the latex,
- affect the gloss, adhesion and water-resistance of the dried film.

The industrial surfactant, Aerosol-501 (American Cyanamid) was used at a loading of 1.5 wt% (based on total monomer weight) for comparison. For a realistic chance of a successful product the novel polymerisable surfactants must perform well at this low loading, high solids, formulation.

Preparation of an Acrylic Latex Using Aerosol-501

Reagents:

| | | |
|-----|-----------------------|--------|
| (1) | Aerosol-501: | 5.6 g |
| | Water: | 290 g |
| | Ammonia (37% aq) | 0.5 ml |
| (2) | Methyl Methacrylate: | 201 g |
| | Butyl Acrylate: | 162 g |
| (3) | Methacrylic Acid: | 4.6 g |
| | Ammonium Persulphate: | 1.2 g |

| | |
|---------------------------|--------|
| Water: | 58 g |
| Ammonia (37% aq): | 5.0 ml |
| (4) Ammonium Persulphate: | 0.3 g |
| Water: | 6 g |

A 2 litre resin pot fitted with nitrogen inlet, condenser, overhead impeller stirrer and two peristaltic addition inlets was charged with solution (1). The milky solution was stirred at 350 rpm whilst being heated to 80 °C under nitrogen. After 30 minutes 15 g of solution (2), 3 g of solution (3) and half of solution (4) was added. Almost immediately a blue tint was observed indicating polymerisation had commenced. After 5 minutes the remainder of solutions (2) and (3) were added dropwise over 3.5 hours. Fifteen minutes after additions were completed the remainder of solution (4) was added and the emulsion left stirring for 1 hour at 80 °C. Any residual monomers (<0.5%) were removed by bubbling steam through the latex for 20 minutes. The latex produced was cooled to room temperature and filtered through a 150 µm mesh.

Preparation of Acrylic Latices Using Polymerisable Surfactants:

The procedure above was repeated using the polymerisable surfactants - replacing the Aerosol-501 directly on a weight basis (1.5 wt% of total monomers).

The following table shows the results of the polymerisations:

| Surfactant | Result |
|-------------|--|
| Aerosol-501 | Good latex - 0% grit & blue, thick emulsion. |
| PP6MP | Emulsion failed (complete coagulation) |
| PP12MP | ~2-3% grit & red emulsion |
| PP20MP | <0.5% grit & blue/green emulsion |
| PP28MP | <0.5% grit & red emulsion |
| PB12MP | ~10% grit & red emulsion |

In the case of the poly(propoxylate) methacrylate phosphates (PPxMP), these results give a good indication of the propoxylate chain length required for effective stabilisation of the acrylic emulsion used - i.e. what chain length gives the appropriate HLB for this system.

The effectiveness of an emulsion polymerisation surfactant can be qualified by the particle size of the final latex - the smaller the better; and the amount of grit (filterable solid) present - the less the better. It appears that, while still providing some stabilisation throughout polymerisation, PP12MP & PP28MP are not as good as PP20MP - the red coloration of the final emulsions indicate that the particle size is large.

One can therefore assume that, for the system examined here, PP12MP is too hydrophilic and PP28MP is too hydrophobic. The optimum propoxylate chain length therefore rests between 12 and 28 but not necessarily exactly at 20. Future work will attempt to accurately determine what chain length is optimum. It is apparent that, although producing a good latex, PP20MP

isn't as active as the standard surfactant used - the latex had a green tinge and wasn't as thick, implying a larger particle size.

The poly(butoxylate) methacrylate phosphate surfactant gave a poor performance and therefore has the wrong HLB. It was noted that, when neutralised, PB12MP was only just dispersible in water and so is probably too hydrophobic for emulsion stabilisation (neutralised PP28MP is easily dispersed in water to give a milky solution and yet still is too hydrophobic). The logical thing to do is to reduce the chain length - but this would take the molecular weight of the surfactant down to below 1000 g/mol which could lead to registration difficulties. The use of a poly(butoxylate) chain was therefore discarded.

Performance of the Polymerisable Surfactant

The emulsion prepared using the best polymerisable surfactant to date (PP20MP) was compared with the standard emulsion prepared using the same amount (1.5%) of the commercial surfactant - Aerosol-501. Also examined was an emulsion prepared using double the quantity (3.0%) of PP20MP. The results are summarised below.

Foaming

25 ml of each emulsion was diluted with an equal volume of de-ionised water and placed in a 100 ml measuring cylinder and shaken for 30 seconds. The foam height is presented as a percentage of the initial liquid height.

| Surfactant Used | Foam Height |
|------------------|-------------|
| 1.5% Aerosol-501 | 130 |
| 1.5% PP20MP | 30 |
| 3.0% PP20MP | 26 |

The foaming of the emulsion is clearly reduced by the use of the polymerisable surfactant PP20MP.

Gloss

The three emulsions were drawn onto a clean, dry mild steel panel using a 100 μ m bar. The coated panels were placed in an oven at 50 °C overnight and the gloss measured at angles of 20 ° and 60 ° using a Rhopoint Novo-Gloss glossmeter.

| Surfactant Used | Gloss | |
|------------------|-------|------|
| | 20 ° | 60 ° |
| 1.5% Aerosol-501 | 80 | 46.5 |
| 1.5% PP20MP | 93.8 | 79.5 |
| 3.0% PP20MP | 97.2 | 92.6 |

The gloss of the coatings obtained using the polymerisable surfactant is significantly better than when a normal surfactant is used.

Adhesion

Adhesion was tested on panels of aluminium and mild steel by applying emulsion to the panels as described above and testing using BS 3600 : E6 : 1992.

| Surfactant Used | Adhesion (cross hatch & peel) | |
|------------------|-------------------------------|-------------|
| | Aluminium | Mild Steel |
| 1.5% Aerosol-501 | Complete Removal | 75% Removal |
| 1.5% PP20MP | No Removal | No Removal |
| 3.0% PP20MP | No Removal | No Removal |

It can be seen that the use of the polymerisable results in a significant improvement in the adhesion of the coating to the substrate (both aluminium and mild steel). It is not known whether this is due to the presence of the phosphate functionality or simply the absence of free surfactant which could act as a release layer.

Water Resistance

This was determined qualitatively. Films were prepared on glass slides by drawing down the latices using a 50 μ m bar and drying at 50 °C for 3 days. The slides were then immersed in water and their appearance over time was monitored.

| Time | Appearance | |
|---------|--------------------|-----------------|
| | A-501 | PP20MP |
| 0 | Clear | Clear |
| 30 mins | Clear | Slight Clouding |
| 1 hr | V. Slight Clouding | Translucent |
| 2 hr | V. Slight Clouding | Milky, peeling |
| 4 hr | Slight Clouding | Milky, peeling |
| 1 day | Milky, peeling | White, peeling |

The polymerisable surfactant exhibited a worse water-performance than the standard surfactant. However, owing to the improvements observed in foaming, gloss and adhesion, it was thought that this result could be due to a contaminant rather than free (uncopolymerised) surfactant.

It is known that phosphation using P_2O_5 gives rise to a mixture of products, including phosphoric acid. When the standard emulsion (prepared using Aerosol-501) was deliberately contaminated with 500 ppm phosphoric acid, the resultant coating exhibited a vastly inferior

water performance. Thus it was found that the presence of H_3PO_4 in a surfactant would be detrimental. As PP20MP (acid form) is immiscible with water it was thought that H_3PO_4 could be simply washed out.

Washing of PP20MP

The polymerisable surfactant, PP20MP, was washed with de-ionised water until the pH of the water washings rose to 3.0. PP20MP was slightly soluble in water and a good deal of product was lost in the washing process. This requires further development.

Water Resistance of Emulsion Prepared Using Washed PP20MP

An emulsion was prepared using the washed PP20MP. This was then dried to a film and tested for water-resistance as before:

| Time | Appearance | |
|----------|--------------------|---------------|
| | A-501 | Washed PP20MP |
| 0 | Clear | Clear |
| 30 mins. | Clear | Clear |
| 1 hr | V. Slight Clouding | Clear |
| 2 hr | V. Slight Clouding | Clear |
| 4 hr | Slight Clouding | Clear |
| 1 day | Milky, peeling | Clear |

By washing the phosphoric acid out of the polymerisable surfactant (PP20MP) a significant improvement in water-resistance is obtained, making the final coating perform better than the standard.

This result is extremely encouraging and justifies further work.

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VIA FEDERAL EXPRESS

November 16, 2001

Mr. Peter David Hasling
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Vazken Alexanian, Ph.D. (Agent)
Kristina M. Grasso (Agent)
David L. Barnes (Agent)

Re: U.S. Patent Application No. 09/831,057
For "POLYMERISABLE SURFACTANTS"
Our File No.: 516.0071USU

Dear Mr. Hasling:

You have been listed as the inventor for the above-identified application. In order to complete the filing of this application in the United States, we must submit the Declaration/Power of Attorney and Assignment documents to the United States Patent and Trademark Office. We are enclosing these documents for your signature. Please execute and return them to us as soon as possible.

If you have any questions, please do not hesitate to contact us. Thank you for your assistance in this matter.

Very truly yours,


J. Robert Dean, Jr.

JRD/jjs

SOLE ASSIGNMENT

The ASSIGNOR, **Peter David Hasling**
 21 Reservoir Road
 Kidderminster
 West Midlands
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 United Kingdom

has invented certain new and useful improvements in

POLYMERISABLE SURFACTANTS

an invention which is fully described in an application for Letters Patent of the United States executed by him or her this day; and

The ASSIGNEE, Albright & Wilson UK Limited, a Limited Corporation having its principal office at Oak House, Reeds Crescent, Watford, Herts, WD24 4QP, United Kingdom, wishes to acquire the entire right, title and interest in and to the invention and under Letters Patent which may be obtained for this invention.

For valuable and legally sufficient considerations, receipt of which are hereby acknowledged, the Assignor sells, assigns and transfers to Assignee, its successors and assigns, the entire right, title and interest for the United States in and to the above-identified invention and application filed on May 4, 2001 and assigned U.S. Serial Number 09/831,057 and for the full term of any Letters Patent of the United States that may issue for the invention.

The Assignor also sells, assigns and transfers to Assignee the entire right, title and interest in and to the invention and application for Letters Patent and Letters Patent therefor in all countries foreign to the United States, including all rights under the International Convention. The Assignor further authorizes Assignee to apply for Letters Patent in foreign countries in the name of Assignee, and to claim the priority of the filing date of the United States Application under the provisions of the International Convention.

The Assignor further agrees, for himself or herself and his or her legal representatives, he or her will assist Assignee in the prosecution before the United States Patent Office and the Federal Courts of this application, and other applications for Letters Patent including renewals, continuations, divisions, reissues and substitutions, that the Assignee elects to make covering the invention. The Assignor vests in Assignee like exclusive title in and to all such other applications and Letters Patent. The Assignor will execute and deliver to Assignee any documents which may be requested by Assignee to carry out the terms of this Assignment.

The Commissioner of Patents of the United States is authorized and requested to issue Letters Patent of the United States to Assignee. The Assignor also authorizes and requests the equivalent authorities in foreign countries to issue the patents of foreign countries to Assignee.

Peter David Hasling
Inventor's Name

Signature

Date

Witness

DECLARATION AND POWER OF ATTORNEY FOR PATENT APPLICATION

Docket No.: 516.0071USU

As a below named inventor, I hereby declare that:

My residence, post office address and citizenship are as stated below next to my name.

I believe I am the original, first and sole inventor of the subject matter that is claimed and for which a patent is sought on the invention entitled:

POLYMERISABLE SURFACTANTS

the specification of which

(check one) ☐ is attached hereto.

XXX was filed on May 4, 2001 as Application Serial No. 09/831,057
and was amended on _____ (if applicable).

I hereby state that I have reviewed and understand the contents of the above identified specification, including the claims, as amended by any amendment referred to above.

I acknowledge the duty to disclose to the U.S. Patent and Trademark Office all information known to me to be material to the examination of this application as defined in Title 37, Code of Federal Regulations, §1.56.

I hereby claim foreign priority benefits under Title 35, United States Code, §119 of any foreign application(s) for patent or inventor's certificate(s) listed below and have also identified below any foreign application(s) for patent or inventor's certificate(s) having a filing date before that of the application on which priority is claimed:

| <u>Prior Foreign Application(s)</u> | | | <u>Priority Claimed</u> |
|-------------------------------------|-----------------------------------|---|-------------------------|
| <u>9824267.0</u> (Number) | <u>Great Britain</u> (Country) | <u>06 November 1998</u> (Day/Mon/Year Filed) | <u>X</u> Yes ___ No |
| <u>9913034.6</u> (Number) | <u>Great Britain</u> (Country) | <u>05 June 1999</u> (Day/Mon/Year Filed) | <u>X</u> Yes ___ No |
| <u>PCT/GB99/03574</u> (Number) | <u>PCT</u> (Country) | <u>28 October 1999</u> (Day/Mon/Year Filed) | <u>X</u> Yes ___ No |

I hereby claim the benefit under Title 35, United States Code, §120 of any United States application(s) listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States application in the manner provided by the first paragraph of Title 35, United States Code, §112, I acknowledge the duty to disclose material information as defined in Title 37, Code of Federal Regulations, §1.56(a) which occurred between the filing date of the prior application and the national or PCT international filing date of this application:

| | | |
|-----------------------------------|------------------------|---|
| _____ (Application Serial No.) | _____ (Filing Date) | _____ (Status - patent, pend., abandon.) |
| _____ (Application Serial No.) | _____ (Filing Date) | _____ (Status - patent, pend., abandon.) |
| _____ (Application Serial No.) | _____ (Filing Date) | _____ (Status - patent, pend., abandon.) |

POWER OF ATTORNEY: As a named inventor, I hereby appoint the following attorney(s) and/or agent(s) to prosecute this application and transact all business in the Patent and Trademark Office connected therewith.

| NAMES | REGISTRATION NUMBERS |
|-----------------------|----------------------|
| Charles N.J. Ruggiero | 28,468 |
| Paul D. Greeley | 31,019 |

| SEND CORRESPONDENCE TO: | DIRECT TELEPHONE CALLS TO: |
|---|--|
| Charles N. J. Ruggiero, Esq. Ohlandt, Greeley, Ruggiero & Perle, L.L.P. One Landmark Square, 10 th Floor Stamford, Connecticut 06901-2682 | Charles N. J. Ruggiero, Esq. Telephone: (203) 327-4500 Telefax: (203) 327-6401 |

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

| | | | |
|-------------------------|-----------------------------------|--|------------------------|
| FULL NAME OF INVENTOR | LAST NAME Hasling | FIRST NAME Peter | MIDDLE NAME David |
| RESIDENCE & CITIZENSHIP | CITY Kidderminster | STATE OR COUNTRY United Kingdom | CITIZENSHIP British |
| POST OFFICE ADDRESS | P.O. ADDRESS 21 Reservoir Road | CITY & STATE Kidderminster, West Midlands, UK | ZIP CODE DY11 7AP |

Inventor's signature _____ Date _____, 2001
PETER DAVID HASLING



..... 01 SBC

21 Reservoir Road
Kidderminster
West Midlands
DY11 7AP

Mr J Robert Dean, Jr
Ohlandt, Greeley et al
1 Landmark Square, 10th Floor
Stamford
Connecticut
06901-2682

22 November 2001

Dear Mr Dean,

US Patent Application No. 09/831,057 'Polymerisable Surfactants'

Thank you for your letter of 16 November 2001 enclosing the Declaration / Power Attorney and Assignment documents to the United States Patent and Trademark Office for the above patent.

Please be aware that I am no longer employed by Albright & Wilson (UK) Limited (now Rhodia Consumer Specialties Limited) and am therefore reluctant to sign these documents without seeking independent, professional advice.

As you will no doubt appreciate, since leaving Rhodia I have little time to spend investigating the implications of this and would therefore suggest that, unless an offer of financial compensation can be made by Rhodia CS Ltd, I will not be in a position to sign the declaration.

Yours faithfully,



Dr P D Hasling

Exhibit IV



BARKER BRETTTELL

PATENTS TRADE MARKS COPYRIGHT DESIGNS

Fax

PLEASE REPLY TO BIRMINGHAM

Fax: +44 (0) 121 456 1368

To: Mr J Robert Dean

Company: Ohlandt et al, Stamford, CT, USA

Fax No: 001 203 327 6401

No. of pages including this page: 2

From: Colin D Kinton

Date: 07 January 2002

Our Ref: CDK1865

Your Ref: RD01018/516.0071USU

NOTICE TO RECIPIENT: This communication may contain confidential, privileged or trade secret information which is protected by law. Should you have received it in error, please telephone us immediately and destroy the pages received. You are required to treat all information contained in the communication as strictly confidential, as between the sender and the addressee.

Dear Mr Dean

Thank you for your letter of 04 January 2002. I attach a copy of SECTION 39 of the U K PATENTS ACT 1977. This sets out the statute law of the United Kingdom in respect of inventions made by employees.

Before that Act came into force, an employer had to rely on the "common law" position, which was that the work-product of a "servant" was held in trust for the "master". The 1977 Act put that situation into statute law, so that a Court no longer had to go into all the circumstances of each case. The only questions that a Court has to determine under Section 39 are "Is the inventor an employee?" and "Did he make the invention in the course of his normal duties of employment?"

Since the letter of May 1995 shows Mr Hasling to have been taken on by A & W as a Research Scientist, it follows that the work he was engaged to do was "...such that an invention might reasonably be expected to result from the carrying out of his duties" as required by Section 39 (1) (a).

In addition, the May 1995 letter mentions a "Service Agreement" (top of page 2 of the letter). I believe that the "Service Agreement" used at that time did contain a specific reference to intellectual property arising from employment and to the obligation of the employee to assign the rights in that intellectual property to the employer. I suggest that you try to get a copy of Mr Hasling's "Service Agreement".

Please let me know if there is anything else I can do to help. Note that I am not in the office on Fridays.

Regards

Colin D Kinton

138 HAGLEY ROAD EDGBASTON BIRMINGHAM B10 9PW ENGLAND TEL: +44 (0) 121 456 1364 FACSIMILE: +44 (0) 121 456 1368

E-mail: bham@barkerbrettell.co.uk URL: http://www.barkerbrettell.co.uk

London 020 8392 2234. Southampton 023 8033 6970 Cambridge 01223 411355 Telford 01952 501557 Worcester 01905 27589 Gloucester 01452 311799
 Christopher J. Spall C.P.A., E.P.A. S. Willem Storehouse C.P.A., E.P.A. Geoffrey M. Lomas B.Sc., C.P.A., E.P.A. Richard N. H. Callaghan M.L.T.M.A. Patricia M. Melkowski B.A., C.P.A., E.P.A.
 John Lawrence M.A. (Cantab), C.P.A., E.P.A., M.L.T.M.A. Sarah J. Lill B.A., M.L.T.M.A. Peter Jackson B.Sc., C.P.A., E.P.A., R.T.M.A. Andrew D. Tranter B.Eng., Ph.D., C.P.A., E.P.A. Lucy P. Truman B.Sc., C.P.A., E.P.A.
 Toby Gosnell M.Eng., A.M.I.E.E., C.P.A., E.P.A. Catherine A. Whiston U.L.R., Dip. M.L.T.M.A.
 Colin D. Kinton B.Sc., C.P.A., E.P.A. (Associate) David A. Whitman M.A. (Chert) Oxon., C.P.A., E.P.A., R.T.M.A. (Associate) John Kinrade B.Sc., C.P.A., E.P.A., R.T.M.A. Anthony H. E. Telford C.P.A., E.P.A.
 James P. Peel M.A. (Chert) Oxon., F.P.A. Tracy A. Arch U.L.R., Dip. M.L.T.M.A. Alan E. Wilson B.Sc., C.P.A., E.P.A., M.I.P.E.E., E.P.A., C.P.A.
 Consultants: Donald J. Allfield B.Sc., C. Chem., M.R.C.S., C.P.A., E.P.A., R.T.M.A. Paul S. Russell B.Sc., C.P.A., E.P.A.

OHLANDT, GREELEY,
RUGGIERO & PERLE

JAN 07 2002

RECEIVED

PATENTS ACT 1977

Employees' inventions

39.—(1) Notwithstanding anything in any rule of law, an invention made by an employee shall, as between him and his employer, be taken to belong to his employer for the purposes of this Act and all other purposes if—

- (a) it was made in the course of the normal duties of the employee or in the course of duties falling outside his normal duties, but specifically assigned to him, and the circumstances in either case were such that an invention might reasonably be expected to result from the carrying out of his duties; or
 - (b) the invention was made in the course of the duties of the employee and, at the time of making the invention, because of the nature of his duties and the particular responsibilities arising from the nature of his duties he had a special obligation to further the interests of the employer's undertaking.
- (2) Any other invention made by an employee shall, as between him and his employer, be taken for those purposes to belong to the employee.

HUMAN RESOURCES

ALRIGHT & WILSON

Exhibit V

**CORPORATE HUMAN
RESOURCES DEPARTMENT****THIS COPY TO BE
SIGNED AND RETURNED**

Date 25 May 1995

Your Ref

Our Ref Hs1ng/ROJ/asm

Direct Phone 0121 420 5168

Direct Fax 0121 420 5166

PO Box 3174
210-222 Hagley Road West
Oldbury, WarleyWest Midlands B68 0NN
Telephone 0121 420 5168
National 0121 420 5168
International 0121 420 5168
Telex 33628 ALB W G

Fax 0121 420 5161

Fax 0121 420 5161

Fax 0121 420 5161

Fax 0121 420 5161

Dr P D Hasling
115 Bracadale Drive
Stockport
SK3 8RY

Dear Peter

I have pleasure in formally offering you a position as Research Scientist based at our International Technical Centre at Oldbury.

The commencing salary will be £19,000, comprising a salary of £17,750 and a guaranteed bonus of £1,243 per annum, paid quarterly in arrears. Salaries are currently reviewed annually.

In addition, you should be aware that the Company currently operates a Related Pay scheme; on the assumption that the present scheme continues you will be eligible to join the scheme in May 1996. I can explain the benefits to you separately, if you wish.

I would like you to commence employment on Monday, 4 September 1995.

This offer is subject to the following terms and conditions:

115 Bracadale Drive
Stockport
SK3 8RY

Salary will be paid monthly in arrears by direct credit transfer to your bank, National Giro or Building Society account by the last working day of the month.

2. Hours of Work

I have pleasure in formally offering you a position as Research Scientist based at our International Technical Centre at Oldbury. Your normal hours of work will be 37 hours per week.

3. Notice: Salary will be £19,000, comprising a salary of £17,750 and a guaranteed bonus of £1,243 per annum, paid quarterly in arrears. Salaries are currently reviewed annually. This appointment is subject to one calendar month's notice, in writing, from either side.

In addition, you should be aware that the Company currently operates a Related Pay scheme; on the assumption that the present scheme continues you will be eligible to join the scheme in May 1996. I can explain the benefits to you separately, if you wish.

I would like you to commence employment on Monday, 4 September 1995.

This offer is subject to the following terms and conditions:

115 Bracadale Drive
Stockport
SK3 8RY

4. Service Agreement

You will be required to sign a Service Agreement on taking up the appointment, a specimen copy of which is enclosed for your prior information. Will you please return the specimen agreement when replying to this offer.

5. Holidays

5.1 Basic Entitlement

Your basic entitlement will be 25 working days (three of these are nominated by the Company), built up at the rate of 2.5 days per month over a ten month period, 1 September to 30 June, the 1 September falling in the year preceding that in which the holiday is to be taken. New starters in their first year qualify for holiday pro-rata according to the number of months within the entitlement period for which they have been employed.

5.2 Statutory Holidays

There will be eight statutory holidays during the period 1 January to 31 December.

5.3 Service Holidays

You will be required to sign a Service Agreement on taking up the appointment. In addition to the basic and statutory holidays, staff are granted extra holidays related to service with the Company as follows:

- For those with 10 years' service - 2 additional days
- For those with 15 years' service - 3 additional days
- For those with 20 years' service - 4 additional days
- For those with 25 years' service - 5 additional days

6. Pension and Life Assurance Arrangements

The Company operates a non-contributory pension and life assurance scheme and, subject to the rules, you will be entitled to join the Pension and Life Assurance schemes in the first year of service.

7. Medical Examination

This offer is subject to the provision of a satisfactory medical report and, therefore, it will be necessary for you to undergo a medical examination. Our Medical Department will make the necessary arrangements.

8. Contracts of Employment

In accordance with current legislation, a Contracts of Employment document will be issued to you on taking up the appointment.

9. References

We require two references which are acceptable to us, days for those with 10 years' service - 2 additional days
for those with 15 years' service - 3 additional days
for those with 20 years' service - 4 additional days
for those with 25 years' service - 5 additional days

10. Pension and Life Assurance Arrangements

The Company operates a non-contributory pension and life assurance scheme and, subject to the rules, you will be entitled to join the Pension and Life Assurance schemes in the first year of service.

page 3

10. Relocation Allowance

I attach a copy of the current Company policy; please let me know if anything is not clear.

11. Performance Appraisal

Your performance will be monitored and, if the current Personal Progress Review scheme continues, you will receive a formal appraisal in summer of 1996. In addition, your performance and role in the Company will be formally reviewed between 18 and 20 months after joining the Company. The Company's formal disciplinary procedure will not, save in case of gross misconduct, apply to you until you have completed this review.

12. Degree Classification

This offer is conditional upon your receiving a degree classification of at least 2(1). I shall require written confirmation of this. If this classification is not obtained, please immediately contact me and I will then review the situation.

We hope you will accept our offer; when replying will you please sign and return the enclosed copy of this letter.

Yours sincerely

R O Jones
Graduate Recruitment Manager

I accept / ~~do not accept~~ the above offer of employment and terms and conditions therein.

Signed PDH

Date 2nd June 1995

* Please delete as appropriate

DECLARATION AND POWER OF ATTORNEY FOR PATENT APPLICATIONDocket No.: 516.0071USU

I, John A. Shedden, having authorization to sign on behalf of the applicant, Rhodia Inc., hereby declare that:

My residence, post office address and citizenship are as stated below next to my name:

**John A. Shedden
105 Pond View Drive
Washington Crossing, PA 18977
U.S.A. (citizenship)**

The applicant has a proprietary interest in the subject matter that is claimed and for which a patent is sought on the invention entitled:

POLYMERISABLE SURFACTANTS

the specification of which

(check one) _____ is attached hereto.

XXX was filed on **May 4, 2001** as Application Serial No. **09/831,057**
and was amended on _____ (if applicable).

By virtue of the proprietary interest of the Applicant, I sign this Declaration and Power of Attorney on behalf of and as agent for Peter David Hasling, the Inventor. The Inventor's last known address and his citizenship are stated below next to his name:

**Peter David Hasling
21 Reservoir Road
Kidderminster
West Midlands
DY11 7AP
United Kingdom (citizenship)**

I acknowledge the duty to disclose to the U.S. Patent and Trademark Office all information known to me to be material to the examination of this application as defined in Title 37, Code of Federal Regulations, §1.56.

I hereby claim foreign priority benefits under Title 35, United States Code, §119 of any foreign application(s) for patent or inventor's certificate(s) listed below and have also identified below any foreign application(s) for patent or inventor's certificate(s) having a filing date before that of the application on which priority is claimed:

Prior Foreign Application(s)

Priority Claimed

9824267.0

(Number)

Great Britain

(Country)

06 November 1998

(Day/Mon/Year Filed)

X Yes ___ No

9913034.6
(Number)

Great Britain
(Country)

05 June 1999
(Day/Mon/Year Filed)

X Yes ___ No

PCT/GB99/03574
(Number)

PCT
(Country)

28 October 1999
(Day/Mon/Year Filed)

X Yes ___ No

I hereby claim the benefit under Title 35, United States Code, §120 of any United States application(s) listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States application in the manner provided by the first paragraph of Title 35, United States Code, §112, I acknowledge the duty to disclose material information as defined in Title 37, Code of Federal Regulations, §1.56(a) which occurred between the filing date of the prior application and the national or PCT international filing date of this application:

(Application Serial No.)

(Filing Date)

(Status - patent, pend., abandon.)

(Application Serial No.)

(Filing Date)

(Status - patent, pend., abandon.)

(Application Serial No.)

(Filing Date)

(Status - patent, pend., abandon.)

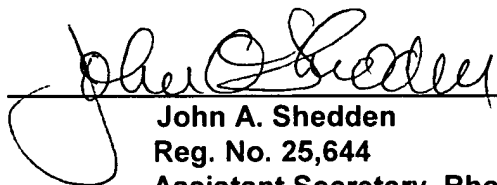
POWER OF ATTORNEY: On behalf of the Applicant and Inventor, I hereby appoint the following attorney(s) and/or agent(s) to prosecute this application and transact all business in the Patent and Trademark Office connected therewith.

| NAMES | REGISTRATION NUMBERS |
|-----------------------|----------------------|
| John A. Shedden | 25,644 |
| John Daniel Wood | 31,146 |
| Kevin E. McVeigh | 33,017 |
| Charles N.J. Ruggiero | 28,468 |
| Paul D. Greeley | 31,019 |

| SEND CORRESPONDENCE TO: | DIRECT TELEPHONE CALLS TO: |
|---|--|
| Charles N. J. Ruggiero, Esq. Ohlandt, Greeley, Ruggiero & Perle, L.L.P. One Landmark Square, 10 th Floor Stamford, Connecticut 06901-2682 | Charles N. J. Ruggiero, Esq. Telephone: (203) 327-4500 Telefax: (203) 327-6401 |

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

For the Applicant:



John A. Shedden
Reg. No. 25,644
Assistant Secretary, Rhodia, Inc.

Date January 10, 2002

PCT

Exhibit VII

WORLD INTELLECTUAL PROPERTY ORGANIZATION
International Bureau

INTERNATIONAL APPLICATION PUBLISHED UNDER THE PATENT COOPERATION TREATY (PCT)

| | | |
|--|-----------|---|
| (51) International Patent Classification ⁷: C08F 2/26, C09D 157/06 | A1 | (11) International Publication Number: WO 00/27890 (43) International Publication Date: 18 May 2000 (18.05.00) |
| (21) International Application Number: PCT/GB99/03574 (22) International Filing Date: 28 October 1999 (28.10.99) (30) Priority Data: 9824267.0 6 November 1998 (06.11.98) GB 9913034.6 5 June 1999 (05.06.99) GB (71) Applicant (for all designated States except US): ALBRIGHT & WILSON UK LIMITED [GB/GB]; 210-222 Hagley Road West, Warley, West Midlands B68 0NN (GB). (72) Inventor; and (75) Inventor/Applicant (for US only): HASLING, Peter, David [GB/GB]; 29 Clifton Street, Stourbridge, West Midlands DY8 3XR (GB). (74) Agent: BARKER BRETTELL; 138 Hagley Road, Edgbaston, Birmingham B16 9PW (GB). | | (81) Designated States: AE, AL, AM, AT, AU, AZ, BA, BB, BG, BR, BY, CA, CH, CN, CR, CU, CZ, DE, DK, DM, EE, ES, FI, GB, GD, GE, GH, GM, HR, HU, ID, IL, IN, IS, JP, KE, KG, KP, KR, KZ, LC, LK, LR, LS, LT, LU, LV, MA, MD, MG, MK, MN, MW, MX, NO, NZ, PL, PT, RO, RU, SD, SE, SG, SI, SK, SL, TJ, TM, TR, TT, TZ, UA, UG, US, UZ, VN, YU, ZA, ZW, ARIPO patent (GH, GM, KE, LS, MW, SD, SL, SZ, TZ, UG, ZW), Eurasian patent (AM, AZ, BY, KG, KZ, MD, RU, TJ, TM), European patent (AT, BE, CH, CY, DE, DK, ES, FI, FR, GB, GR, IE, IT, LU, MC, NL, PT, SE), OAPI patent (BF, BJ, CF, CG, CI, CM, GA, GN, GW, ML, MR, NE, SN, TD, TG). Published <i>With international search report.</i> |
| (54) Title: POLYMERISABLE SURFACTANTS | | |
| (57) Abstract The invention provides a polymerisable surfactant having at least one hydrophobic polymerisable group which is linked by polyalkyleneoxy groups to a hydrophilic group, wherein the polymerisable surfactant is of the general formula: $(RCH = CR'COO[CH_2CHR''O]_x)_nPO(OY)_m$, where $n + m = 3$; x is between 5 and 40; $R = H$ or CH_3 or $COOR'''$; $R' = H$ or CH_3 ; $R'' = H$, CH_3 or C_2H_5 ; $R''' = C_1-C_{20}$ alkyl; $Y = H$ or an alkali metal atom. The invention further relates to a method of making such surfactants and to their use in surface coatings, to improve water-resistance and to reduce the formation of "bloom" and "blush" in such coatings. | | |

Exhibit VIII



CERTIFICATE OF INCORPORATION **ON CHANGE OF NAME**

Company No. 36833

The Registrar of Companies for England and Wales hereby certifies that

ALBRIGHT & WILSON UK LIMITED

having by special resolution changed its name, is now incorporated
under the name of

RHODIA CONSUMER SPECIALTIES LIMITED

Given at Companies House, London, the 10th March 2000

MR J MAYNE

For The Registrar Of Companies



C O M P A N I E S H O U S E

CORPORATE ASSIGNMENT

WHEREAS, Rhodia Consumer Specialties, Limited, a Limited Corporation, organized under the laws of the United Kingdom, with its principal place of business at Oak House, Reeds Crescent, Watford, Herts, WD24 4QP, United Kingdom (hereinafter referred to as "Assignor"), is the owner of invention pertaining to:

POLYMERISABLE SURFACTANTS.

The invention is embodied in the patent application in attached Schedule A (hereinafter referred to as "the Patent and Patent Application"); and

WHEREAS, Rhodia, Inc., a Delaware Corporation, with its principal place of business at 259 Prospect Plains Road, Cranbury, New Jersey 08512 (hereinafter referred to as "Assignee"), wishes to acquire the entire right, title and interest in and to the invention, as well as to the Patents and Patent Applications and all other corresponding foreign patent rights;

NOW THEREFORE, for valuable and legally sufficient considerations, receipt of which are hereby acknowledged, the Assignor sells, assigns and transfers to Assignee, its successors and assigns, the entire right, title and interest for the United States in and to the invention and the Patents and Patent Applications for the full term of any Letters Patent which issues therefrom;

The Assignor also sells, assigns and transfers to Assignee the entire right, title and interest in and to the invention and application for Letters Patent and Letters Patent therefor in all countries foreign to the United States, including all rights under the International Convention. The Assignor further authorizes Assignee to apply for Letters Patent in foreign countries in the name of the inventors who have previously assigned this right and this invention to Assignor, and to claim the priority of the filing date of the United States Application under the provisions of the International Convention;

The Assignor further agrees, for itself and its legal representatives, It will assist or direct the inventors to assist Assignee in the prosecution before the United States Patent Office and the Federal Courts of this application, and other applications for Letters Patent including renewals, continuations, continuation-in-parts, divisions, reissues and substitutions, that the

Assignee elects to make covering the invention. The Assignor vests in Assignee like exclusive title in and to all such other applications and Letters Patent. The Assignor will execute or direct the inventors to execute and deliver to Assignee any documents which may be requested by Assignee to carry out the terms of this Assignment; and

The Commissioner of Patents and Trademarks of the United States is authorized and requested to issue Letters Patent of the United States to Assignee. The Assignor also authorizes and requests the equivalent authorities in foreign countries to issue the patents of foreign countries to Assignee.

IN WITNESS WHEREOF, Assignor has caused this Assignment to be executed by its duly authorized officer effective as of the _____ day of _____, 2002.

Rhodia Consumer Specialties Limited

By: _____

Name: C. J. IMRIE

Title: DIRECTOR

A. Steel

Witness

DIRECTOR

SCHEDULE A

| <u>Country</u> | <u>Application No.</u> | <u>Filing Date</u> | <u>Title</u> |
|-----------------------|-------------------------------|---------------------------|------------------------------|
| United States | 09/831,057 | May 4, 2001 | Polymerisable Surfactants |
| European | 99951024.1 | Oct. 28, 1999 | Polymerisable Surfactants |

Assignee hereby accepts the foregoing assignment and grant of rights.

IN WITNESS WHEREOF, Assignee has caused this assignment to be executed by its duly authorized officer this 14th day of January, 2002.

Rhodia Inc.

By: Judith L. Diorio
Name JUDITH L. DIORIO
Title Asst. Secretary

Theresa Schiffman
Witness

THERESA SCHIFFMAN
NOTARY PUBLIC OF NEW JERSEY
MY COMMISSION EXPIRES MAY 5, 2002

Exhibit X

**BARKER BRETTELL**

PATENTS TRADE MARKS COPYRIGHT DESIGNS

Fax

PLEASE REPLY TO BIRMINGHAM

Fax: +44 (0) 121 456 1368

To: Mr J Robert Dean

Company: Ohlandt et al, Stamford, CT, USA

Fax No: 001 203 327 4500

No. of pages including this page: 1

From: Colin D Kinton

Date: 29 November 2001

Our Ref: CDK1865

Your Ref: RD0101/516.0071USU

NOTICE TO RECIPIENT: This communication may contain confidential, privileged or trade secret information which is protected by law. Should you have received it in error, please telephone us immediately and destroy the pages received. You are required to treat all information contained in the communication as strictly confidential, as between the sender and the addressee.

Dear Mr Dean

US NATIONAL STAGE ENTRY FROM PCT/GB99/03574

Thank you for your letter of 27 November 2001. Unfortunately, the only document in my possession signed by Mr Hasling is an "AUTHORISATION OF AGENT" for the originating PCT application. That document merely authorises our firm to act as agents for Rhodia and for Mr Hasling before the PCT authority.

The only other equivalent application is before the European Patent Office and no document signed by the inventor was necessary for that European application.

I can also tell you that it was not the usual practice of Albright & Wilson UK Ltd (the predecessor of Rhodia) to have the inventors execute assignments on the filing of original UK applications. It is a situation which I tried to change when I worked there, but without success.

Under the UK "common law", an employed inventor has a duty to transfer to his employer (at the cost of the employer) the rights in any invention made during his employment. The UK Courts will, in appropriate circumstances, be prepared to enforce that duty on Mr Hasling. However, the cost of achieving such an outcome would, I suspect, be out of all proportion to the "additional compensation" required by Mr Hasling and it may well be cheaper in the long term to try to reach a settlement with him.

Regards

Colin D Kinton

138 HAGLEY ROAD EDGBASTON BIRMINGHAM B16 9 7W ENGLAND TEL: +44 (0) 121 456 1364 FACSIMILE: +44 (0) 121 456 1368
E-mail: bham@barkerbrettell.co.uk URL: http://www.barkerbrettell.co.uk

London 020 3392 2234 Southampton 023 8033 6970 Cam ridge 01223 411355 Telford 01952 501557 Worcester 01905 27589 Gloucester 01452 311799
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Exhibit XI

Wood, Dan

From: Wood, Dan
Sent: Monday, December 17, 2001 3:10 PM
To: BEAMESDERFER, Brooke
Subject: RE: More Pete Hasling

Brooke, did you find a copy of a Fidelity Statement signed by Peter Hasling ?
Thanks.
Dan

-----Original Message-----

From: BEAMESDERFER, Brooke
Sent: Tuesday, December 11, 2001 6:22 AM
To: Wood, Dan
Subject: FW: More Pete Hasling

Dan,
Here is the date of hire and termination details. Looks like his file has been located, so we will fax whatever we find this afternoon.
In the meantime, I will fax the generic Fidelity Statement from the policy manual.
b

-----Original Message-----

From: Sutcliffe, Sue
Sent: 11 December 2001 11:15
To: BEAMESDERFER, Brooke
Subject: RE: More Pete Hasling

Brooke

His details are as follows :

| | |
|-----------|--------------------|
| Commenced | 3rd July 1995 |
| Left | 1st September 2000 |

Sue Timmins has Peter's file, just going over to OTC to see if there are any copies of his contract etc.,

Regards
